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**Integration and coordination of efforts by the United Nations Office on Drugs and Crime and Member States in the field of crime prevention and criminal justice**

# International cooperation in combating transnational organized crime and corruption

## Report of the Secretary-General

*Summary*

The present report provides an overview of the activities of the United Nations Office on Drugs and Crime (UNODC) to fight transnational organized crime, in all its forms and manifestations, and corruption. The report also provides information on international cooperation and technical assistance undertaken by UNODC to combat transnational organized crime and corruption.

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# I. Introduction

1. The present report has been prepared pursuant to Economic and Social Council decision 2014/230. It provides information on the activities of the United Nations Office on Drugs and Crime (UNODC) with reference to Council resolutions 2005/17, entitled "International cooperation in the fight against transnational organized crime", and 2006/24, entitled "International cooperation in the fight against corruption", as well as General Assembly resolution 69/197, entitled "Strengthening the United Nations crime prevention and criminal justice programme, in particular its technical cooperation capacity".

# II. Transnational organized crime

## A. Conference of the Parties to the United Nations Convention against Transnational Organized Crime

2. In its resolution 69/197, the General Assembly reaffirmed that the United Nations Convention against Transnational Organized Crime and the Protocols thereto represented the most important tools of the international community for fighting transnational organized crime.

3. In the same resolution, the General Assembly recalled article 32 of the Convention and Assembly resolution 68/193, in which, inter alia, the need for the establishment of a mechanism for the review of the implementation of the Convention and the Protocols thereto by States parties had been reiterated; underlined that the review of the implementation of the Convention was an ongoing and gradual process and that it was necessary to explore all options regarding the establishment of a mechanism to assist the Conference of the Parties to the United Nations Convention against Transnational Organized Crime in the review of the implementation of the Convention and the Protocols thereto; and invited Member States to continue the dialogue in that regard.

4. In its resolution 7/1, the Conference, inter alia, requested UNODC to convene, within existing resources from the regular budget, at least one open-ended intergovernmental meeting to include government officials with practical expertise related to the implementation of the Convention and its Protocols, with a view to analysing options and submissions by States parties regarding an appropriate and effective mechanism to assist the Conference in the review of the implementation of the Convention and the Protocols thereto; and to submit to the Conference at its eighth session a report containing concrete recommendations in this regard, and recommendations for cooperating with relevant international and regional organizations and non-governmental organizations, in line with article 32 of the Convention and as guided by the principles and characteristics contained in Conference resolution 5/5.

5. Furthermore, in its resolution 7/1, the Conference decided that the Working Group on Trafficking in Persons, the Working Group on the Smuggling of Migrants and the Working Group on Firearms would be constant elements of the Conference, forwarding their reports and recommendations to the Conference, and encouraged those working groups and the Working Group on International Cooperation and the

Working Group of Government Experts on Technical Assistance to consider meeting on an annual basis, as needed, and to hold their meetings consecutively, in order to ensure the effective use of resources.

6. The Working Group on Firearms held a meeting in Vienna from 26 to 28 May 2014. During that meeting, the Working Group discussed challenges and good practices in the criminalization, investigation and prosecution of illicit firearms trafficking, and measures to enhance international cooperation in criminal matters, including through effective tracing of firearms in ongoing investigations; monitoring illicit trafficking flows in firearms at the national, regional and global levels; and challenges and good practices in the prevention of the illicit manufacturing of firearms. The Conference, in its resolution 7/2, expressed its appreciation for the work of the Working Group at the meeting held in 2014 and took note of the recommendations contained in the report on that meeting.

7. The Working Group of Government Experts on Technical Assistance held a meeting in Vienna from 6 to 7 October 2014, during the seventh session of the Conference. At that meeting, the Working Group discussed the criminalization of participation in an organized criminal group; liability of legal persons; and information-gathering under article 32, paragraph 5, of the Convention. The Conference, in resolution 7/3, endorsed the recommendations adopted by the Working Group at its meeting held in 2013 and 2014.

8. The Working Group of Government Experts on Extradition, Mutual Legal Assistance and International Cooperation for Purposes of Confiscation held a meeting in Vienna from 6 to 7 October 2014, during the seventh session of the Conference. At that meeting, the Working Group discussed bilateral and multilateral agreements for international cooperation in criminal matters; enhancing the coordinating functions of central authorities designated under article 18, paragraph 13, of the Convention; and tools developed by UNODC. The recommendations adopted by the Working Group at that meeting were endorsed by the Conference in its resolution 7/4.

9. Furthermore, in resolution 7/4, the Conference acknowledged the efforts made by UNODC to further strengthen international cooperation tools, including the Mutual Legal Assistance Request Writer Tool.

## B. Promoting ratification and implementation of the United Nations Convention against Transnational Organized Crime

10. The Organized Crime Convention and its Protocols have continued to attract adherence by States. In 2014, 5 States ratified the Convention (bringing the total number of parties to 185); 7 States ratified the Protocol to Prevent, Suppress and Punish Trafficking in Persons, Especially Women and Children, supplementing the United Nations Convention against Transnational Organized Crime (bringing the total number of parties to 166); 3 States ratified the Protocol against the Smuggling of Migrants by Land, Sea and Air, supplementing the United Nations Convention against Transnational Organized Crime (bringing the total number of parties to 141); and 5 States ratified the Protocol against the Illicit Manufacturing of and Trafficking in Firearms, Their Parts and Components and Ammunition, supplementing the

United Nations Convention against Transnational Organized Crime (bringing the total number of parties to 113).

11. UNODC has continued to compile information on the efforts of States parties to harmonize their national legislation with the provisions of the Convention and its Protocols. Such information is made available in the database of legislation on the UNODC Sharing Electronic Resources and Laws on Crime (SHERLOC) knowledge management portal, which also includes a case law database, bibliographic database and a link to the directory of competent national authorities. Through SHERLOC, UNODC aims to gather on a single website all information pertaining to international, regional and national efforts to combat organized crime, with a view to facilitating the dissemination of information and assisting the Conference in fulfilling its mandate, pursuant to article 32 of the Convention. In 2014, the SHERLOC portal, launched by UNODC in 2013, was visited by 13,000 users from all regions of the world, totalling 19,500 sessions. New visitors account for 66 per cent of all users of the portal. SHERLOC now covers 170 countries and contains 2,200 legislative provisions in the database of legislation, 1,800 cases and operations in the case law database and 290 abstracts in the new bibliographic database.

12. The provision of legislative assistance for ratification and implementation of the Convention and its Protocols is a key function of UNODC. Legislative assistance activities provided, upon request, by UNODC headquarters and field offices include training for relevant authorities and practitioners on the various aspects and requirements of the Convention and its Protocols, gap analysis, advice on existing legislation and support for drafting or amending legislation, including advice to parliamentarians. In the reporting period, several States received legislative assistance in harmonizing their legislation with the Convention; workshops offered comprehensive coverage of a wide range of provisions in the Convention, including criminalization, liability of legal persons, jurisdiction, confiscation, witness protection and law enforcement. Training was also delivered on the use of the Convention to combat emerging forms of crime such as crime involving fraudulent medicine.

### 1. Implementation of the provisions on international cooperation in the United Nations Convention against Transnational Organized Crime and technical assistance activities of the United Nations Office on Drugs and Crime

13. UNODC contributed to international cooperation to prevent and combat transnational organized crime by providing legal advisory services to draft new legislation or to review and amend existing frameworks for mutual legal assistance and extradition.

14. In 2014, UNODC continued to develop and promote the use of tools to facilitate international cooperation. An informal expert group meeting was convened from 8 to 9 May 2014 to discuss UNODC tools to support international cooperation in criminal matters and, in particular, to share ideas on upgrading the Mutual Legal Assistance Tool and consider possible new functionalities. Experts shared views on, inter alia, the importance of running the tool on modern devices and platforms; making the tool available in national languages; functions to generate national statistics; and linking the tool to national resources. Participants agreed on a set of concrete steps to develop and pilot test the revised tool. In response to the outcome

of the informal expert group meeting, UNODC initiated a redevelopment process for the tool to make full use of the latest technology and include a new module on electronic evidence.

15. UNODC is working on the redevelopment of the directory of competent national authorities and its full integration into the SHERLOC knowledge management portal. In 2014, comprehensive research on bilateral and multilateral treaties on extradition and mutual legal assistance and national laws and guidelines on international cooperation was carried out to supplement the contact details available in the directory of competent national authorities.

16. The establishment of a central authority responsible for receiving and drafting requests for mutual legal assistance and extradition, a key requirement of the Convention, has become a necessity given the growing number of requests received by each State and the need to respond to those requests quickly and thoroughly. The institutionalization of such functions helps to concentrate expertise in one body and to monitor the execution of mutual legal assistance and extradition. It also contributes to the preservation of institutional memory and valuable contacts established with partner countries over time.

17. With those elements in mind, UNODC has worked to develop networks of prosecutors and central authorities responsible for receiving and preparing requests for mutual legal assistance and extradition in Central America and West Africa. Through the nomination of focal points, the holding of regular meetings and training events and the creation of websites containing information on national constituents, those networks will assist participating central authorities and prosecutors in developing contacts with their counterparts, exchanging information about their respective legal systems and procedures and sharing good practices, thereby creating a community of practice within each region that will facilitate cooperation in ongoing cases.

18. In order to support efforts by States to institutionalize and strengthen central authorities, the Global Programme for Strengthening the Capacities of Member States to Prevent and Combat Organized and Serious Crime has worked to establish and implement networks of central authorities and prosecutors, including the Network of West African Central Authorities and Prosecutors and the Network of Prosecutors and Central Authorities from Source, Transit and Destination Countries in response to Transnational Organized Crime in Central Asia and Southern Caucasus and the Network of Prosecutors against Organized Crime (REFCO). Through the nomination of focal points, the holding of regular meetings and training events, the provision of advisers and the creation of tools, including websites containing information on national requirements, these networks will promote the institutionalization of central authorities, assist participating central authorities and prosecutors in developing contacts and trust with their counterparts, exchanging information about their respective legal systems and procedures and sharing good practices, thereby creating a community of practice within each region that will facilitate cooperation in ongoing cases.

19. The third plenary meeting of the Network of West African Central Authorities and Prosecutors was held in Ouagadougou from 27 to 29 May 2014. Two representatives from each of the countries in West Africa participated, with the support of experts from the Ministry of Justice of France, the Court of Justice of the

Economic Community of West African States and UNODC. As a result of their training, Network focal points were more efficient in handling incoming and outgoing requests for mutual legal assistance and extradition; and they were to resolve long-standing obstacles to extradition cases, as they were in a better position to make contacts and build trust through the Network. Additionally, an expert participating in a plenary meeting of the Network provided a colleague with the contact details of the focal point for one of the countries participating in the Network. A telephone conference between the officials of the two countries concerned led to the first extradition of a person from a country participating in the Network to another country. Moreover, some focal points are now acting upon informal requests to ensure that the requested information is collected or that action needed to obtain such information has commenced before the formal request is received.

20. Within the framework of the Network, national training on international judicial cooperation was provided for prosecutors, law enforcement authorities and officials of central authorities in Burkina Faso (in June 2014), Ghana (in August 2014), Nigeria (in September 2014) and Togo (in October 2014). At a side event on the Network organized in May 2014 during the twenty-third session of the Commission on Crime Prevention and Criminal Justice, three Network focal points discussed the benefits of the Network; high-level officials from France and the United States of America also participated in the side event.

21. In May 2014, UNODC, together with the General Prosecutor's Office of Kazakhstan, launched an initiative to establish or reinforce the Network of Prosecutors and Central Authorities from Source, Transit and Destination Countries in response to Transnational Organized Crime in Central Asia and the Southern Caucasus. The initiative is aimed at addressing challenges faced by prosecutors and central authorities in countries in Central Asia and the Southern Caucasus in investigating cases involving organized crime. At a meeting held in Astana, issues related to transnational trafficking in Afghan opiates via the northern route were addressed. A second meeting, hosted by the Office of the Chief Prosecutor of Georgia, and held in Tbilisi in December 2014, contributed to the exchange of casework practices in investigations of cases involving transnational organized crime that required digital evidence to be provided by foreign jurisdictions. As a follow-up to the second meeting, UNODC developed and distributed among Network participants basic tips for investigators and prosecutors for requesting electronic evidence from foreign jurisdictions.

22. UNODC supports an interregional approach to stemming drug trafficking and related crime through the promotion of closer cooperation between existing law enforcement coordination centres and platforms. To achieve this, UNODC is establishing and improving cooperative links between various entities involved in the fight against trafficking.

23. In this context, UNODC launched the initiative "Networking the networks" to improve coordination and cooperation between regional and international criminal intelligence centres in the exchange of criminal intelligence and potentially for joint operations aimed at countering all forms of organized crime. A meeting on the initiative "Networking the networks" was hosted by Turkey and held in Istanbul in December 2013, and a second meeting was hosted by Qatar and held in Doha in October 2014. The second meeting brought together law enforcement experts and

case investigators from Central and South-East Asia, East Africa, Europe and the Gulf States, as well as from the International Criminal Police Organization (INTERPOL) and the World Customs Organization, to consider ongoing criminal cases with interregional links and explore how the regional and international criminal intelligence centres could support these investigations of such cases.

24. During the reporting period, UNODC coordinated the preparations for the Thirteenth United Nations Congress on Crime Prevention and Criminal Justice, to be held in Doha from 12 to 19 April 2015. One of the substantive items of the provisional agenda of the Congress is entitled "International cooperation, including at the regional level, to combat transnational organized crime". Elements of international cooperation will also be discussed under item 5 of the provisional agenda, entitled "Comprehensive and balanced approaches to prevent and adequately respond to new and emerging forms of transnational crime", at two workshops to be organized within the framework of the Congress: the workshop entitled "Trafficking in persons and smuggling of migrants: successes and challenges in criminalization, in mutual legal assistance and in effective protection of witnesses and trafficking victims"; and the workshop entitled "Strengthening crime prevention and criminal justice responses to evolving forms of crime, such as cybercrime and trafficking in cultural property, including lessons learned and international cooperation". It is expected that international cooperation will be a key policy objective in the declaration to be adopted by the Congress.

### 2. Technical assistance activities related to the United Nations Convention against Organized Crime

25. The use of legal tools in the delivery of technical assistance for the harmonization of legislation is critical. Conference room papers containing information on needs assessment tools were issued during the seventh session of the Conference, in October 2014. Furthermore, UNODC published two background papers on provisions of the Convention: participation in an organized criminal group; and the liability of legal persons. UNODC, in consultation with States, will begin updating the *Legislative Guides for the Implementation of the United Nations Convention against Transnational Organized Crime and the Protocols Thereto*.[1] UNODC also continued to develop guidance on drafting legislation to combat trafficking in fraudulent medicine, in line with the Convention.

26. During the reporting period, UNODC provided technical assistance to the authorities of Saudi Arabia through the organization of a training workshop to enhance the effectiveness of mechanisms for mutual legal assistance and increase the national capacity for dealing effectively with requests for such assistance. The training workshop, held in Riyadh from 30 March to 2 April 2014, was aimed at enhancing the capacity and expertise of the newly established Committee on Mutual Legal Assistance, which functions under the supervision of the Ministry of the Interior. The workshop, attended by 43 participants from the agencies constituting the Committee, covered topics and thematic areas relevant to mutual legal assistance.

27. Through the Global Programme against Money-Laundering, the Proceeds of Crime and the Financing of Terrorism, UNODC provides technical assistance and

[1] United Nations publication, Sales No. E.05.V.2.

capacity-building to assist Member States in preventing and suppressing illicit financial flows and in seizing the proceeds of drug trafficking and other forms of crime. The mentor programme remains the main vehicle of the Global Programme for delivering technical assistance in the field. It provides a means for UNODC to better understand the needs, priorities and challenges faced by Member States in establishing and developing comprehensive systems to combat money-laundering and the financing of terrorism.

## C. Promoting ratification and implementation of the Protocols to the United Nations Convention against Transnational Organized Crime

### 1. Protocol to Prevent, Suppress and Punish Trafficking in Persons, Especially Women and Children, supplementing the United Nations Convention against Transnational Organized Crime

28. UNODC assists Member States in implementing the Trafficking in Persons Protocol by, among other things, providing input to policy development and through technical assistance.

29. UNODC continued to expand the Human Trafficking Case Law Database, a publicly available global database of adjudicated trafficking cases, which serves to increase the visibility of successful cases, with the aim of contributing to increasing the number of prosecuted trafficking cases. In February 2015, the Database included 1,180 cases from 91 jurisdictions. The Database is available in English, and parts of it are also available in French and Spanish. To further assist criminal justice practitioners, UNODC began the preparation of a digest of cases involving trafficking in persons, focusing on evidential matters.

30. UNODC launched an issue paper entitled *The Role of "Consent" in the Trafficking in Persons Protocol* in October 2014. An issue paper on the concept of "exploitation" is to be launched in April 2015. The UNODC issue paper series is aimed at analysing key concepts of the Trafficking in Persons Protocol.

31. UNODC undertook a project to analyse the role of recruitment fees and recruitment agencies in trafficking in persons. Two expert meetings were organized jointly by UNODC and the International Labour Organization, in Vienna and Bangkok. The project results will be reported on in 2015.

32. In April 2015, UNODC launched an assessment toolkit on trafficking in persons for the purpose of organ removal, analysing the phenomenon and providing questions for the assessment of such trafficking.

33. UNODC continued to act as the coordinator of the Inter-Agency Coordination Group against Trafficking in Persons. UNODC contributed substantively to the work of the Coordination Group, which in October 2014 launched a policy paper entitled "Preventing trafficking in persons by addressing demand" and in January 2015 held a consultative briefing for permanent missions at United Nations Headquarters. To mark the first World Day against Trafficking in Persons, on 30 July 2014, UNODC organized or coordinated a number of events, including the issuing of a joint statement by the member agencies of the Coordination Group.

34. UNODC, in partnership with the Judicial Academy of Serbia, organized a pilot training event for representatives of judicial training institutions in South-Eastern Europe, with a view to enhancing training methodology and training materials on trafficking in persons. The participants included prosecutors, judges, law enforcement officers, civil society representatives and judicial training specialists from the subregion.

35. UNODC worked closely with regional stakeholders in developing a strategy against trafficking in persons and the smuggling of migrants for Western and Central Africa for the period 2015-2019, taking stock of the current situation in the region and envisaging action to be taken to tackle crime involving trafficking in persons and the smuggling of migrants.

36. To raise awareness of the relevant international legal framework and increase law enforcement capacities to detect and investigate trafficking cases, UNODC organized a series of training workshops on combating trafficking in persons for Algerian law enforcement officials. UNODC also organized a two-day workshop on trafficking in persons and the smuggling of migrants in Tehran. Train-the-trainer initiatives have been carried out in the Congo, Morocco and Panama; initial and follow-up training focused on substantive issues related to the investigation, prosecution and adjudication of cases involving trafficking in persons and on training methodology and delivery skills. In the Congo, UNODC worked closely with relevant national authorities to develop and adopt a national action plan against trafficking in persons for the period 2014-2017, aimed at strengthening and facilitating national coordination of efforts to counter such trafficking. The action plan was adopted in May 2014, and efforts are currently being made to mobilize the necessary resources for its implementation. UNODC also provided legislative assistance to Chad, Georgia, Kenya and Zimbabwe.

37. UNODC continued to support victims of human trafficking worldwide. In 2014, the United Nations Voluntary Trust Fund for Victims of Trafficking in Persons, Especially Women and Children, managed by UNODC, completed its first cycle of grant-giving, facilitating the provision of assistance to more than 2,000 victims per year in 11 countries. The Trust Fund also made a global appeal for proposals for awarding small grants to entities working at the grass-roots level to provide assistance to victims of trafficking. In addition, a small grant facility was launched in the Congo for local non-governmental organizations working with such victims.

38. In November 2014, the *Global Report on Trafficking in Persons, 2014*,[2] was issued, highlighting global and regional patterns and trends in trafficking in persons.

### 2. Protocol against the Smuggling of Migrants by Land, Sea and Air, supplementing the United Nations Convention against Transnational Organized Crime

39. UNODC assists Member States in implementing the Smuggling of Migrants Protocol through normative work and technical assistance.

40. In the reporting period, UNODC continued to carry out technical assistance activities; between March and May 2014, it carried out two assessments of legislation to counter the smuggling of migrants and the criminal justice response in

[2] United Nations publication, Sales No. E.14.V.10.

Cabo Verde and the United Republic of Tanzania. The assessment in the United Republic of Tanzania was followed by a joint validation workshop in June 2014.

41. UNODC also assisted in addressing the issue of smuggling of migrants at the regional and interregional levels. In June 2014, UNODC, the International Organization for Migration and the Organization for Security and Cooperation in Europe jointly organized a workshop on enhancing cooperation in matters related to irregular migration and the smuggling of migrants through South-Eastern Europe. The workshop, hosted by the Government of Greece, brought together criminal justice and migration practitioners and representatives of countries of origin and countries of destination, the European Union and international and regional organizations.

42. UNODC responded to the growing challenge of smuggling of migrants by sea. UNODC developed an internal strategy to combat the smuggling of migrants across the Mediterranean, using technical assistance to address the immediate and short-term needs of countries in the Middle East and North Africa. UNODC, together with the Office of the United Nations High Commissioner for Refugees, the Office of the United Nations High Commissioner for Human Rights, the International Organization for Migration and the International Maritime Organization, issued a joint statement on protection at sea in the twenty-first century, calling for a robust response to the issue. UNODC is working closely with other entities in the United Nations system on developing a joint medium- and long-term strategy to address the issue of smuggling of migrants by sea.

43. UNODC further developed its e-learning programme in order to deliver cost-effective computer-based training on topics related to the smuggling of migrants, for use by law enforcement and criminal justice practitioners worldwide. For example, in Pakistan, three new e-learning training modules are currently being developed, and efforts are being made to develop a new system to enhance the effectiveness of monitoring e-learning activities.

44. UNODC also continued to be an active member of the Global Migration Group, an inter-agency group to promote the wider application of all relevant instruments and norms relating to migration.

### 3. Protocol against the Illicit Manufacturing of and Trafficking in Firearms, Their Parts and Components and Ammunition, supplementing the United Nations Convention against Transnational Organized Crime

45. In 2011, UNODC established its Global Firearms Programme to assist Member States in their efforts to accede to and implement the Firearms Protocol.

46. The Global Firearms Programme provides integrated support to Member States in the areas of policy and legislative development; technical support and expert advice in the areas of marking, record-keeping, stockpile management, collection and disposal of firearms; training and capacity-building support for the investigation and prosecution of firearms trafficking and related forms of organized crime; the promotion of international and regional cooperation and the exchange of information on firearms control and trafficking; civil society and parliamentarian engagement and oversight in firearms control; and research and analysis on firearms trafficking.

47. UNODC is currently assisting about 20 countries in South America, West and Central Africa and the Sahel in their efforts to strengthen their national firearms control regimes in a manner consistent with the international legal regime on firearms and related global and regional instruments.

48. In 2014, UNODC provided legislative assistance and legal drafting support to 12 countries. Two countries passed new firearms laws (Peru and Uruguay) and one passed secondary legislation to regulate the application of their new law (the Plurinational State of Bolivia); one country took steps to make firearms trafficking a criminal offence in its draft criminal code, which is currently still under discussion (Argentina); four countries developed draft laws on firearms and are about to submit them to their legislative bodies (Benin, Burkina Faso, Senegal and Togo); two countries received legislative advice for the development of secondary legislation to regulate their national firearms laws (Paraguay and Senegal); four countries are in the process of conducting a comprehensive legislative assessment with the support of UNODC (Chad, Mali, Mauritania and the Niger). Other countries informed UNODC that they had revised parts of their firearms legislation in a manner consistent with the Firearms Protocol (Peru) or using as a guide the UNODC *Model Law against the Illicit Manufacturing of and Trafficking in Firearms, Their Parts and Components and Ammunition*[3] (Chile).

49. International cooperation in criminal matters, including the investigation and prosecution of cases on trafficking in firearms, is a central element of the Global Firearms Programme's capacity-building component. The comprehensive training curriculum on firearms developed by the Programme also contains a specific module dedicated to international cooperation.

50. In 2014, seven training courses were organized in the framework of the Global Firearms Programme on the investigation and prosecution of firearms trafficking and related forms of organized crime, for a total of 280 firearms control authorities, investigators, prosecutors, customs and border control officials from eight countries (Argentina, Benin, Bolivia (Plurinational State of), Brazil, Burkina Faso, Chile, Paraguay and Togo). All the courses included a component on international cooperation.

51. In 2014, nine machines for marking firearms were delivered to the following countries through the Global Firearms Programme: Benin (one machine), Burkina Faso (two machines), Mali (one), Niger (two) and Senegal (three). In close collaboration with the United Nations Regional Centre for Peace and Disarmament in Africa (UNREC) and the National Commission of Côte d'Ivoire, practical training workshops were organized for those countries on the use of marking machines, standard operating procedures and gun registry techniques. Technical support was provided in the areas of stockpile management, and the collection and disposal of firearms. Through the Global Firearms Programme, assessments of firearms storage capacity were conducted and refurbishment plans were initiated for four West African countries.

52. Within the framework of the Global Firearms Programme, several events were organized to foster the exchange of good practices and promote more effective international and regional cooperation in firearms control. In February 2014, a

[3] United Nations Publication, Sales No. E.11.V.9.

regional seminar on strengthening the legislative and operational responses to firearms trafficking was held in Dakar; the participants agreed to support the UNODC global study on firearms trafficking, the establishment of central firearms units at the national level and a regional network of firearms experts representing the police, justice and customs services. In July 2014, a second regional seminar was held in Burkina Faso, focusing on the exchange of expertise and good practices in the investigation and prosecution of firearms cases. Nine Member States were represented at a third regional seminar, held in Ecuador in December 2014.

53. Cooperation has also been maintained between the Global Firearms Programme and the Common Market of the South (MERCOSUR), through the MERCOSUR working group on firearms.

# III. Corruption

## A. Conference of the States Parties to the United Nations Convention against Corruption

### 1. Mechanism for the Review of Implementation of the United Nations Convention against Corruption

54. The Mechanism for the Review of Implementation of the United Nations Convention against Corruption was established pursuant to resolution 3/1 of the Conference of the States Parties to the United Nations Convention against Corruption. The Implementation Review Group, which is responsible for overseeing the work of the Mechanism, held its fifth session in Vienna from 2 to 6 June 2014 and its resumed fifth session in Vienna from 13 to 15 October 2014. The Implementation Review Group considered, inter alia, the implementation of the Convention, the assessment of the performance of the Implementation Review Mechanism, technical assistance and financial and budgetary matters.

55. Furthermore, in accordance with Conference resolution 4/6, the third briefing for non-governmental organizations was held on the margins of the fifth session of the Implementation Review Group. A summary of the briefing was made available to the Implementation Review Group.

56. UNODC provided technical and substantive services for the Implementation Review Mechanism and the Implementation Review Group in 2014, the fifth and last year of the current cycle of the Review mechanism. Those services included providing training to assist States parties under review and reviewing States, supporting the country reviews and producing thematic reports on implementation trends and the technical assistance needs identified during the first cycle of the Review Mechanism. Twenty-seven countries were under review in the first year, 41 in the second year and 35 in the third year; and 69 country reviews have started in the fourth and fifth years. More than 70 executive summaries of country reports have been made available to the Implementation Review Group in all six official languages of the United Nations. In addition, seven executive summaries have been made available as conference room papers in the language of the review, and five executive summaries have been approved by the States parties under review. Since its inception, a total of $9,831,743 have been received for the Implementation Review Mechanism from Australia, Austria, Brazil, Canada, France, Germany, Italy,

Mexico, Morocco, the Netherlands, Norway, Qatar, the Russian Federation, Sweden, Switzerland, the United Kingdom of Great Britain and Northern Ireland and the United States, as well as from the United Nations Development Programme (UNDP). In-kind contributions have been provided by Benin, China, Italy, Kazakhstan, Kenya, Portugal, the Russian Federation and the United Arab Emirates. Follow-up technical assistance activities have been initiated in more than 30 countries, including through the drafting of action plans or anti-corruption strategies, legislative drafting assistance, capacity-building, measures to improve the sharing of information and the coordination of anti-corruption efforts, and other ad hoc activities to fill gaps identified through country reviews.

### 2. Open-ended Intergovernmental Working Group on the Prevention of Corruption

57. At a meeting held in Vienna from 8 to 10 September 2014, the Open-ended Intergovernmental Working Group on the Prevention of Corruption addressed the mandates of anti-corruption bodies in respect of prevention (article 6 of the United Nations Convention against Corruption) and public sector legislative and administrative measures, including measures to enhance transparency in the funding of candidatures for elected public office and, where applicable, the funding of political parties (articles 5 and 7). A discussion was also held on the experiences of States parties with the self-assessment of their implementation of chapter II of the Convention (Preventive measures).

58. In accordance with Conference resolution 5/4, the Working Group will hold a meeting from 31 August to 2 September 2015 and, at that meeting, it will address measures to prevent money-laundering (article 14) and integrity in public procurement processes and transparency and accountability in the management of public finances (articles 9 and 10).

### 3. Open-ended Intergovernmental Working Group on Asset Recovery

59. At its meeting held in September 2014, the Open-ended Intergovernmental Working Group on Asset Recovery continued to implement its workplan for the period 2012-2015, focusing on article 52 (Prevention and detection of transfers of proceeds of crime) and article 53 (Measures for direct recovery of property) of the Convention. The meeting participants, including a large number of asset practitioners, as well as representatives of the secretariat of the Stolen Asset Recovery (StAR) Initiative, provided in-depth insight into the challenges and opportunities involved in implementing those provisions of the Convention.

### 4. Experts to enhance international cooperation under the United Nations Convention against Corruption

60. The experts to enhance international cooperation under the United Nations Convention against Corruption and their counterpart under the Organized Crime Convention, the Working Group on International Cooperation, held back-to-back meetings in Vienna in October 2014. At their meeting, the experts took stock of country reviews on the implementation of chapter IV of the Convention against Corruption, including the findings on challenges, successes and good practices, as well as the lessons learned and technical assistance needs. The experts invited States parties to further assist each other in the investigation and prosecution of corruption cases by effectively using the Convention against Corruption as a legal basis for

international cooperation. The experts also discussed international cooperation in civil and administrative proceedings for the detection of offences under the Convention against Corruption, including for the identification, freezing and confiscation of assets derived from such offences, as well as obstacles to law enforcement cooperation in the detection of such offences. In accordance with resolution 5/1 of the Conference of the States Parties to the United Nations Convention against Corruption, the experts will meet during the sixth session of the Conference, to be held in St. Petersburg, Russian Federation, in November 2015.

## B. Promoting ratification and implementation of the United Nations Convention against Corruption

### 1. Tools and knowledge-building

61. UNODC has continued to develop and disseminate knowledge-building products and tools that address the needs of anti-corruption practitioners, including in relation to sectors and situations that may be vulnerable to corruption.

62. The Tools and Resources for Anti-Corruption Knowledge (TRACK), the web-based platform developed by UNODC in 2012, continued its successful operation in 2014. The legal library was enhanced through the updating of full-text laws, regulations, policies and other measures from more than 180 countries. Use of the legal library continued to increase: there were 20,926 visitors recorded for the year 2014. The Anti-Corruption Academic Initiative menu of resources currently includes over 1,700 resources, up from 800 in 2013, and a private sector website was launched on the TRACK platform.

63. Work was finalized on a digest of asset recovery cases, a compilation and analysis of cases related to the recovery of proceeds of corruption. States parties and signatories to the Convention against Corruption submitted 10 cases with a level of detail that allowed them to be used for the preparation of the digest. The material was treated in a manner that respected the confidentiality restrictions requested by the States concerned. The analysis also drew on cases from the Asset Recovery Watch database developed through the StAR Initiative. Moreover, the tool for businesses has been made available in 13 languages, and a number of existing publications have been translated and made available through the UNODC website. UNODC is currently working on guides on the protection of reporting persons, the prevention of corruption in prisons and national anti-corruption strategies.

64. Within the framework of the StAR Initiative, UNODC, together with the World Bank, finalized a study on civil remedies and private lawsuits in corruption and asset recovery cases, exploring how States can act as private litigants and bring lawsuits to recover assets lost to corruption, in line with article 53 of the Convention. The study was presented at the meeting of the Working Group on Asset Recovery held in September 2014, and it was launched at the Third Arab Forum on Asset Recovery, held in Geneva from 1 to 3 November 2014. Furthermore, an update of the 2011 study on tracking anti-corruption and asset recovery commitments, developed jointly by the Organization for Economic Cooperation and Development (OECD) and the StAR Initiative, was finalized. The study, entitled *Few and Far: The Hard Facts on Stolen Asset Recovery*, was also presented at the

meeting of the Working Group on Asset Recovery held in September 2014. The existing Asset Recovery Watch database is being updated on a regular basis.

65. The Anti-Corruption Academic Initiative is a collaborative academic project, facilitated by UNODC, that is aimed at encouraging higher-level academic institutions throughout the world to teach and carry out research on anti-corruption issues. Over the past four years it has significantly expanded the range and scope of its activities. At least 41 academic institutions have been actively involved in meetings related to the Initiative, and that number would increase significantly, to about 80, if ad hoc exchanges with professors and other academics interested in the Initiative were to be taken into account. Through the Initiative, over 1,500 free online resources are made available — academic articles, papers and publications covering an extensive range of anti-corruption themes and issues. UNODC has also developed a three-credit model course (including readings, course outline and model exam questions) that can be taught as part of a degree or postgraduate degree in law, business or social sciences. The course is in English, and it will be translated and made available in the other five official languages of the United Nations by the end of March 2015. As part of promoting this course, a teach-the-teacher workshop, involving 50 academics from countries throughout the world, was organized in Vienna in October 2015.

66. To promote the dissemination of knowledge of the nature and patterns of corruption, with a view to facilitating the formulation of evidence-led anti-corruption strategies, over the past few years UNODC has supported a number of countries in developing methodological tools for the measurement of corruption, and it has produced several analytical publications. Surveys have been conducted, focusing on experiences with bribery, among the general population or within the business sector.

### 2. Provision of technical assistance for the implementation of the United Nations Convention against Corruption

67. UNODC has continued to provide a broad set of tailored technical assistance activities at the global, regional and national levels and to develop tools covering the provisions of the Convention to meet the growing demand of Member States.

68. A significant part of the UNODC technical assistance has been delivered through the Anti-Corruption Adviser Programme. Currently, regional advisers are responsible for South-East Asia, West Africa, Eastern and Southern Africa, Central America, the Pacific, the Middle East and North Africa and small island developing States. A national adviser has been deployed to Maputo to provide assistance and expert advice. The advisers have been providing professional expertise at both the national and regional levels to facilitate the rapid delivery of on-site guidance and advice to States parties requesting assistance in, for example, advancing the ratification of the Convention, incorporating provisions of the Convention in their domestic legislation, strengthening their institutional and policy frameworks, building national capacity to prevent, investigate and prosecute corruption, and matters related to chapter IV (International cooperation) and chapter V (Asset recovery) of the Convention. The advisers have also participated in numerous anti-corruption events, training workshops and conferences organized by other providers of technical assistance. Key cross-cutting aspects of their work include the involvement of society as a whole in preventing and fighting corruption, the

integration of anti-corruption elements in development assistance and increased reliance on South-South learning.

69. In Nigeria, UNODC continued to implement a project funded by the European Union and aimed at providing effective support in anti-corruption coordination, policy formulation and legislation, strengthening institutional and operational capacity in the main anti-corruption agencies, the police and the judiciary and enhancing accountability, transparency and civil society engagement in the fight against corruption. UNODC also worked with a broad group of stakeholders in Nigeria to prepare a large-scale survey on corruption, to be implemented in the country in 2015.

70. UNODC continued to implement a technical assistance project on judicial integrity in national anti-corruption projects in Egypt, Iraq, Paraguay and Tunisia. It also continued to implement a technical assistance project on judicial integrity in Kosovo.[4]

71. UNODC, together with the World Bank, continued assisting, through the StAR Initiative, more than 30 countries through case-related and general capacity-building. Those countries were given assistance in strengthening their capacities in asset-tracing, international cooperation, the preparation and conduct of case consultations and case strategy development. Through the StAR Initiative, Switzerland and the Group of Seven were supported in organizing and chairing, together with Egypt and Tunisia, the Third Arab Forum on Asset Recovery, held in Geneva in November 2014. The meeting provided a platform for the exchange of expertise, as well as the conduct of case consultations at over 70 bilateral meetings. Participating States renewed their commitment to asset recovery and international cooperation and acknowledged the shared responsibility to recover assets and proceeds of corruption on behalf of the citizens in the Arab region in the transition period.

### 3. Cooperation with other entities

72. To strengthen existing efforts to better integrate anti-corruption elements into development programming, UNDP and UNODC, together with the United Nations System Staff College, have developed an inter-agency training package on the integration of anti-corruption programming into national United Nations development assistance frameworks. Training of United Nations country teams was carried out in a number of events at the global, regional and national levels in 2014. The results of the training initiative have been very positive: all three countries in which national training events were held in 2013 and 2014 (Iraq, Kenya and Madagascar) have integrated either the follow-up to the implementation review recommendations or other anti-corruption measures into their frameworks. Reaching out to the development community as a whole, UNODC and UNDP have developed a training manual, under the "Partnership for Anti-Corruption Knowledge" initiative, to enable development partners to use the Convention against Corruption as a framework for aligning their technical cooperation with the priorities of the beneficiaries; establish and strengthen a platform of dialogue, coordination and harmonization of technical cooperation among development partners; and establish

[4] References to Kosovo shall be understood to be in the context of Security Council resolution 1244 (1999).

a shared benchmark for monitoring and evaluation and thus a basis for mutual accountability for the effective implementation of programmes, projects and other initiatives aimed at preventing and combating corruption.

73. When developing and implementing its anti-corruption technical assistance projects and programmes, UNODC also strives to avoid duplication of effort and to build synergies with other entities in the United Nations system and elsewhere. Such coordination includes the partnership with the World Bank in the StAR Initiative.

74. Similarly, in the framework of the memorandum of understanding signed by UNODC and UNDP, both entities have launched a joint anti-corruption project for the Pacific as well as two complementary global projects which have parallel workplans, covering East Africa, North Africa and the Middle East, South Asia, South-East Asia, Southern Africa and small island developing States.

75. In collaboration with the International Olympic Committee, UNODC finalized a study entitled *Criminalization Approaches to Combat Match-fixing and Illegal/Irregular Betting: A Global Perspective*. The study was officially presented at a special event during the fifth session of the Conference of the States Parties to the Convention against Corruption, held in Panama City in November 2013. The text of the study, which was posted on the UNODC website, was downloaded 3,055 times from 1 January to 31 December 2014.

76. As a result of a negotiation process launched by the Enlarged Partial Agreement on Sport, in cooperation with the Group of States against Corruption of the Council of Europe, the European Committee on Crime Problems, the Council of Europe Committee of Experts on the Evaluation of Anti-Money Laundering Measures and the Financing of Terrorism (MONEYVAL) and the Economic Crime Division (Cybercrime) and in coordination with the European Union, a Council of Europe Convention on the Manipulation of Sports Competitions was finalized, adopted by the Ministers' Deputies on 9 July 2014 and opened for signature on the occasion of the Thirteenth Council of Europe Conference of Ministers responsible for Sport, held in Macolin/Magglingen, Switzerland, on 18 September 2014. During the negotiation process, UNODC contributed in an advisory capacity to the deliberations and had the opportunity to provide feedback, expertise and comments on issues relating to transnational organized crime and corruption of relevance to the discussion on the new instrument.

77. UNODC continued to participate as an observer in the Group of Twenty (G-20) Anti-Corruption Working Group. UNODC provided input to the 2015-2016 G-20 Anti-Corruption Action Plan and the 2015-2016 G-20 Anti-Corruption Implementation Plan, in which G-20 countries committed themselves to reviewing the recommendations relating to international cooperation arising from the Implementation Review Mechanism and other similar international review mechanisms and discussing possible next steps for responding to implementation gaps and challenges.

78. In the framework of the Business-20 (B-20) Task Force on Improving Transparency and Anti-Corruption, UNODC contributed to the identification of B-20 priority areas and the development of key recommendations for individual and collective action by Governments and businesses from the G-20 and beyond, feeding into the development of the 2015-2016 G-20 Anti-Corruption Action Plan. UNODC participated in the Fourth Annual High-Level Anti-Corruption Conference

for G-20 Governments and Business, held in Rome in June 2014, conference participants discussed the progress in advancing the key elements of the global anti-corruption agenda and innovative solutions to address the latest challenges facing countries, business and civil society.

79. Within the framework of its "Looking Beyond" project, UNODC, in partnership with the UNCAC Coalition, has continued delivering a series of multi-stakeholder workshops involving government focal points of States participating in the work of the Implementation Review Mechanism and non-governmental organizations from those States, in order to provide a platform for constructive dialogue and enhance the capacity of non-governmental organizations to contribute to the implementation of the Convention and the work of the Implementation Review Mechanism.

### 4. Meetings and special events

80. UNODC contributed substantively to a number of national, regional and international anti-corruption workshops and conferences, raising the profile of the Convention and providing policy guidance and technical advice on its implementation. UNODC also continued to participate in the Group of States against Corruption of the Council of Europe, the Mechanism for Follow-up on the Implementation of the Inter-American Convention against Corruption, the OECD Working Group on Bribery in International Business Transactions, the OECD Development Assistance Committee Network on Governance and the G-20 Anti-Corruption Working Group.

81. Since 2009, UNODC and UNDP have marked International Anti-Corruption Day on 9 December with a joint campaign. In 2014, it was launched under the theme "Break the corruption chain" in an effort to encourage reporting of corruption and refraining from being part of corrupt transactions. The awareness-raising initiative, which included UNODC and UNDP field offices and partnerships with community-based organizations, was boosted by intense social media promotion leading up to 9 December, reaching more than 8 million people around the world through different online platforms. Many countries, including Brazil, Libya, Pakistan, Panama and Viet Nam, carried out events such as parades, television appearances, short movie screenings and youth outreach initiatives with the support of UNODC, UNDP and local communities. A website dedicated to International Anti-Corruption Day was created (www.anticorruptionday.org/).

## IV. Recommendations

82. The Commission on Crime Prevention and Criminal Justice may wish to urge Member States that have not yet done so to ratify or accede to the Organized Crime Convention and its Protocols and to the Convention against Corruption and to take every step needed to ensure their effective implementation. In particular, the Commission may wish to urge States to provide financial and material contributions for the convening of working groups and workshops for the implementation of those conventions.

83. The Commission may wish to continue supporting the work of the Conference of the Parties to the Organized Crime Convention and the work of the Conference of

the States Parties to the Convention against Corruption. In particular, it may wish to again call upon States to make financial contributions in support of the Conferences, related technical assistance activities and the Implementation Review Mechanism of the Convention against Corruption.

84. The Commission may wish to encourage Member States to participate at the highest possible level in the sixth session of the Conference of the States Parties to the Convention against Corruption.

85. The Commission may wish to encourage Member States to further develop multilateral strategies against specific transnational organized criminal markets on the basis of global analyses and threat assessments.